

0368

#34



McDonnell Boehnen Hulbert & Berghoff  
Law Offices

## Fax transmittal

To	Office of Initial Patent Examination	Date	01/22/02
Company	<b>United States Patent Office</b>	From	Mark W. Triplett
Fax	1 703 308 7751	Direct	312 913 0001 ext 2029
Phone	1 703 308 1202	Email	triplett@mbhb.com
Pages, with cover	8	C/M	460/39
Re	Duplicate copy of response to notice to file missing parts for 09/896,061 (attorney ref. no. 01-381)		

Dear Sir/Madam:

This is a copy of correspondence that was mailed to the USPTO on October 19, 2001. Please charge any fees to Deposit Account 13-2490. If the OIPE wishes to contact the undersigned, they may phone 312 913 0001 ext. 2029.

Respectfully submitted,

By: Mark Triplett  
Mark W. Triplett  
Reg. No. 49,002

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300 South Wacker Drive 312 913 0001 phone  
Chicago, Illinois 60605-6709 312 913 0002 fax  
www.mbhb.com

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**UNITED STATES PATENT AND TRADEMARK OFFICE**  
(Case No. 01-381)

In The Application Of:

Schmitz, et al.

Serial No. 09/896,061

Filed: June 29, 2001

Title Automated Execution System Having  
Participation

Examiner:

Group Art Unit:

**TRANSMITTAL LETTER**

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

In regard to the above identified application:

1. We are transmitting herewith the attached:

- a. A Copy of Notice To File Missing Parts;
- b. Response to Notice to File Missing Parts;
- c. Executed Copy of Oath of Declaration; and
- d. Return Receipt Postcard.


2. With respect to additional fees:

☒ Check in the amount of \$130.00.

3. Please charge any additional fees or credit overpayment to Deposit Account No.13-2490.  
A duplicate copy of this sheet is enclosed.

4. **CERTIFICATE OF MAILING UNDER 37 CFR § 1.8:** The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1 hereinabove, are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231 on this 19<sup>th</sup> day of October, 2001.

Respectfully submitted,

By:   
Mark W. Triplett  
Reg. No. 49,002

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**PATENT  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 01-381)**

In the Application of:

Schmitz, et al.

Serial No. 09/896,061

Filed: June 29, 2001

For: Automated Execution System  
Having Participation

Examiner:

Group Art Unit:

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
MAILED AUGUST 21, 2001**

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

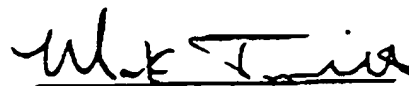
Responsive to the Notice to File Missing Parts of Application, mailed August 21, 2001,  
Applicants submit herewith an executed copy of their Declaration, pursuant to 37 C.F.R. §§1.63  
and 1.68.

A check in the amount of \$130.00 accompanies this Response.

Respectfully submitted,  
McDonnell Boehnen Hulbert & Berghoff

Date: October 19, 2001

By:

  
Mark W. Triplet  
Reg. No. 49,002

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**FILE COPY**

Hon. Commissioner of  
Patents and Trademarks

09/896,061

Atty: MWT/es

Re: Applicant - Schmitz, et al.

Case No. 01-381

**AUTOMATED EXECUTION SYSTEM HAVING PARTICIPATION**

Sir:

Please place the Patent Office receipt stamp hereon and mail to acknowledge receipt of:

- ☒ Transmittal Letter (in duplicate)
- ☒ Response to Notice to File Missing Parts of Application
- ☒ Executed copy of Oath or Declaration
- ☒ Certificate of Mailing

Fee Enclosed  
\$ 130.00

Date Mailed: October 19, 2001

Respectfully,  
McDonnell Boeniger Hulbert & Bergoff  
Attorney for Applicant

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MC DONNELL BOEHNEN  
HULBERT & BERGHOFF  
300 S. WACKER DR., 32ND FLOOR  
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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
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WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/896,061	06/29/2001	David J. Schmitz	01-381

CONFIRMATION NO. 9465

## FORMALITIES LETTER



\*OC00000006456084\*

Mark W. Triplett  
McDonnell Boehnen Hulbert & Berghoff  
300 S. Wacker Drive, 32nd Floor  
Chicago, IL 60606

Date Mailed: 08/21/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

DOCKETED

AUG 27 2001

01/22/2002 SFELEKE1 00000006 09896061

DUE DATE: 10/21/01  
BY: KB CB

01 FC:105

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